

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE STATEMENTIn re Application of: ALLAN F. WILLIS ET AL.Attorney Docket No.: BAL-17-CON2 (BA-00136.2)Serial No.: NOT YET ASSIGNEDDate: June 22, 2001Filed: NOT YET ASSIGNEDArt Unit: UNKNOWNConfirmation No.: UNKNOWNOur Account No.: 04-1403Title: CATHETER WITH DISTALLY DISTENDING BALLOON

Commissioner for Patents  
 U.S. Patent and Trademark Office  
 Washington, D.C. 20231

11046 U S PTO  
 09/887279  
 06/22/01

Sir:

The following is an Information Disclosure Statement for the captioned patent application, pursuant to 37 CFR Sections 1.56, 1.97, and 1.98.

1. Attached hereto is:

- a. A list of materials for consideration per Rule 98(a)(1): 1 page(s)
- b. A legible copy of each patent, publication, or other item listed per Rule 98(1)(2), unless not required per Rule 98(c) and/or (d) and as indicated on the attached list(s):  
15 item(s)
- c. For each non-English language item listed, pursuant to Rule 98(a)(3), a concise explanation of the relevance thereof as it is presently understood by the individual designated in Rule 56(c) most knowledgeable about the content of such items: \_\_\_\_\_

[ ] Such explanation is provided in the Search Report from a corresponding application enclosed herewith along with any enclosed translation into English.

2. This Information Disclosure Statement is being filed [CHECK ONE]:

- a. WITHIN THREE MONTHS of the application filing date or national stage date of entry OR BEFORE the mailing date of a first Office Action on the merits, which ever event occurs last, WHEREFORE per Rule 97(b) NO filing fee or Rule 97(e) certificate is required.
- b. AFTER the time periods of section 2.a above, but BEFORE a Final Action, Notice of Allowance OR an action that otherwise closes prosecution, WHEREFORE PER Rule 97(c) submitted herewith is [CHECK ONE]:
  - i. Certification per Rule 97(e); OR
  - ii. Filing Fee per Rule 17(p) ..... \$180.00
- c. AFTER a Final Action OR Notice of Allowance, but BEFORE payment of the issue fee, WHEREFORE per Rule 97(d) submitted herewith is:
  - i.  Certification per Rule 97(e); AND
  - ii.  Filing fee per Rule 17(p)..... \$180.00

3. Rule 97(e) Certification; per Rule 97(e), the undersigned certifying party make the following certification statement [CHECK ONE]:

- a. That each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement; OR
- b. That no item of information contained in this Information Disclosure Statement was first cited in a foreign patent office in a counterpart foreign application and to the knowledge of the undersigned after making a reasonable inquiry, was known to any individual designated in Rule 56(c) more than three months prior to the filing of this statement.

CERTIFYING PARTY (if different from bottom signature; omission here indicates that certification is being made by signer per signature below).

Name: \_\_\_\_\_  
 Address: \_\_\_\_\_

Signature: \_\_\_\_\_  
 Date: \_\_\_\_\_

4.[x] **DEPOSIT ACCOUNT AUTHORIZATION:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any fees in addition to the fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (deficiency only) now or hereafter relative to this application and the resulting official document under Rule 20, or credit any overpayment, to our Account No. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This statement does not authorize charge of the issue fee in this case.

5.[X] **CERTIFICATE OF MAILING:** This Information Disclosure Statement is being filed pursuant to [CHECK AND COMPLETE ONE]:

a. [ ] First Class Mail Certificate of Mailing under Rule 8:

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I hereby certify that this paper and all attachments and any fee are being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to BOX PATENT APPLICATION, Commissioner for Patent, U.S. Patent and Trademark Office, Washington, D.C. 20231.

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(Signature of person mailing paper or fee)

ADDRESS:

Post Office Box 1449  
Greenville, South Carolina 29602  
Telephone: 864-271-1592  
Facsimile: 864-233-7342

DORITY & MANNING, P.A.

By: STEPHEN E. BONDURA

Reg. No.: 35,070

Signature: S.E.B.

Date: JUNE 22, 2001

(Rev. 5/92) Information Disclosure Statement List By Applicant Under 37 CFR Section 1.98(a) (1) (Use several sheets if necessary)		Attorney Docket Number BAL-17-CON2 (BA-00136.2)	Serial Number NOT YET ASSIGNED
		Applicant ALLAN F. WILLIS ET AL.	
		Filing Date: HEREWITH	Group UNKNOWN
		Confirmation No.: UNKNOWN	UNKNOWN

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NOTE: If no indication is made in the column marked "COPY NOTE," the required legible copy of the corresponding item is submitted herewith; otherwise, a copy is not required and/or not submitted, for the following reason(s) [corresponding reason number is listed in "COPY NOTE" column]

- (1) This item is cumulative, per Rule 98(c)
- (2) A copy of this item was previously cited by or submitted to the U.S. Patent and Trademark Office in:

USSN 09/372,133, filed 8/11/99, or  
USSN \_\_\_\_\_, filed \_\_\_\_\_;

Relied on under 35 U.S.C. Section 120, per Rule 98(d)

- (3) Both reasons (1) and (2) apply
- (4) No legible complete copy is possessed, in custody of controlled, or readily available

#### U.S. PATENT DOCUMENTS

EXAMINER INITIALS	PATENTEE NAME	PATENT NUMBER							ISSUE DATE	COPY NOTE
	BRILL	5	3	9	5	3	3	3	9/1995	2
	PETERS	5	4	4	1	4	8	5	8/1995	2
	GRAQZEL	4	7	9	6	6	2	9	1/1989	2
	WILLIS ET AL.	5	9	9	7	5	0	3	12/1999	2
	WEBER ET AL.	5	7	5	9	1	7	2	6/1998	2
	MIRAKI ET AL.	5	0	7	4	8	4	5	12/1991	2
	KOEHN	3	0	5	0	0	6	6	8/1962	2
	PARKS	4	7	9	8	5	9	2	1/1989	2
	MENASCHE	4	9	2	7	4	1	2	5/1990	2
	QUINN ET AL.	5	3	0	8	3	2	5	5/1994	2
	MACKIN	4	9	7	6	7	1	0	12/1990	2
	NORDQVIST ET AL.	4	5	7	5	3	7	1	3/1986	2
	SAUDAGAR	4	5	5	5	2	4	2	11/1985	2
	BOLDUC ET AL.	R	E	2	9	2	0	7	5/1977	2

#### FOREIGN PATENT DOCUMENTS

EXAMINER INITIALS	COUNTRY	DOCUMENT NUMBER	PUBLICATION DATE	TRANSLATION			COPY NOTE
				YES	NO	N/A	
	JAPAN	6 2 6 1 9 5 1 A	9/1994		X		2

\*"NO" means that no copy of an English language translation is within the possession, custody, or control of, or is readily available to any individual designated in Rule 56(c).

EXAMINER INITIALS	OTHER DOCUMENTS Specify author (if any), Title, Pertinent Pages, Date & Place of Publication			COPY NOTE

#### EXAMINER DATE CONSIDERED

Examiner: initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.